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|  | <b>REVIEW OF EXTERNAL<br/>DOCUMENTS</b> | Doc. No.: PMP 6.04<br>Revision: 1<br>Eff. Date: 11/13/02<br>Page: 1 of 7<br>DAR No.: NSNF-430 |
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| Approval: | Original Signed by Mark Arenaz<br>Manager, National Spent Nuclear Fuel Program | Date: | 11/13/02 |
| Approval: | Original Signed by Robert Blyth<br>NSNFP Quality Assurance Program Manager     | Date: | 11/13/02 |

## I. PURPOSE AND SCOPE

This procedure establishes the process used by the National Spent Nuclear Fuel Program (NSNFP) for conducting internal reviews of documents developed and approved externally.

## II. SUMMARY


The NSNFP Program Support Organization (PSO) provides the infrastructure necessary to support the review of documents received from an external source by the NSNFP Management Organization, the NSNFP PSO, or the NSNFP Quality Assurance Staff (QAS) Organization.

This procedure describes the process for releasing an *external document* (see glossary) for internal review, stipulates reviews by personnel competent in the subject area undergoing the review, and describes the process for comment resolution. The procedure addresses interfaces with external sources for communication and resolution of comments.

## III. PROCEDURE


### A. Initiating Conditions for Releasing an External Document for Review

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| NSNFP<br>Document<br>Requester/<br>Preparer | <ol style="list-style-type: none"> <li>1. Initiate a review when an external document requiring NSNFP review is received from a <i>government sector supplier</i> (see glossary) or other supplier listed on the NSNFP Qualified Supplier List (QSL).</li> <li>2. Initiate a review as requested by NSNFP management when external documents are received from organizations such as Office of Civilian Radioactive Waste Management (OCRWM) or U.S. Department of Energy (DOE)-Office of Environmental Management (EM) with a request for a review by NSNFP. <ol style="list-style-type: none"> <li>a. Serve as a single point of contact in NSNFP for the document review by: <ol style="list-style-type: none"> <li>(1) Coordinating review activities within the NSNFP organization</li> <li>(2) Resolving any conflicting comments received from reviewers within the NSNFP organization</li> <li>(3) Consolidating comments received from reviewers within the NSNFP organization into a single set of comments for submittal to the external organization's review coordinator by the review due date</li> <li>(4) Coordinating to obtain the resolution of comments.</li> </ol> </li> </ol> </li> </ol> |
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|  | <b>REVIEW OF EXTERNAL<br/>DOCUMENTS</b> | Doc. No.: PMP 6.04<br>Revision: 1<br>Eff. Date: 11/13/02<br>Page: 2 of 7<br>DAR No.: NSNF-430 |
|--|---|---|

## B. Coordination and Documentation of Reviews, Comments, and Resolutions

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| NSNFP<br>Document<br>Requester/<br>Preparer | <ol style="list-style-type: none"> <li>1. When a Document Action Request (DAR), NSNFP Form 6.01-6, is required by Attachment A, obtain a DAR number from the NSNFP Document Control Coordinator (DCC).</li> <li>2. Prepare the DAR in accordance with the form instructions that include the following concepts. <ol style="list-style-type: none"> <li>a. Using Attachment A of this procedure, select mandatory reviewers who are technically competent in the subject area undergoing review and have not participated in the document preparation. Add other non-mandatory reviewers at the discretion of the document requester/preparer.</li> <li>b. Using the left-hand column of Attachment A, indicate the NSNFP procedure that contains the specific review criteria for the document type undergoing review.</li> <li>c. For document types not listed by Attachment A, provide the following review criteria, as a minimum: <p style="margin-left: 40px;">Review for applicability, correctness, technical adequacy, completeness, accuracy, and compliance with established requirements.</p> <ol style="list-style-type: none"> <li>(1) Select, as a minimum, mandatory reviewers from PSO and NSNFP QAS who are technically competent in the subject area undergoing review and have not participated in the document preparation.</li> </ol> </li> </ol> </li> <li>3. Obtain approval of the DAR based on one of the following conditions: <ol style="list-style-type: none"> <li>a. For an external document received from the NSNFP government sector supplier and other suppliers listed on the Qualified Suppliers List, the DAR approval authority is the PSO Technical Staff assigned to interface with the supplier.</li> <li>b. For a QA Program document from a DOE SNF site, the DAR approval authority is the NSNFP Quality Assurance Program Manager (QAPM).</li> <li>c. For an external document from sources outside the NSNFP such as OCRWM and DOE-EM, the DAR approval authority is the Manager, NSNFP or the NSNFP QAPM. <ol style="list-style-type: none"> <li>(1) Select NSNFP reviewers and review criteria on a case-by-case basis for external documents from sources such as OCRWM or DOE-EM.</li> </ol> </li> </ol> </li> <li>4. Prepare a Document Review Transmittal (DRT), NSNFP Form No. 6.01-7.</li> </ol> |
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|  | <b>REVIEW OF EXTERNAL<br/>DOCUMENTS</b> | Doc. No.: PMP 6.04<br>Revision: 1<br>Eff. Date: 11/13/02<br>Page: 3 of 7<br>DAR No.: NSNF-430 |
|--|---|---|

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|   | a.  | Consistent with Attachment A and the approved DAR (if applicable), select technically competent mandatory reviewers other than the document preparer.. Add additional non-mandatory reviewers at the discretion of the requester/preparer. |
|   | 5.  | Prepare a Review Comment Record (RCR), NSNFP Form No. 6.01-1.  |
|   | 6.  | Provide the approved DAR, prepared DRT, the RCR and the external document to the NSNFP DCC.  |
| NSNFP<br>DCC                                | 7.  | Distribute the DRT, the RCR, and the draft document to the reviewers listed on the DRT in electronic or hard copy form.  |
| NSNFP<br>Document<br>Requester/<br>Preparer | 8.  | Coordinate with reviewers to provide pertinent background information, data, or documents referenced by the document undergoing review.  |
|   | a.  | Schedule and coordinate review meetings as deemed necessary.   |
| NSNFP<br>Mandatory<br>Reviewers             | 9.  | Conduct a review considering all aspects of the document and the review criteria established by the document review instructions contained in the approved DRT.  |
|   | 10. | Complete the RCR form comments section if mandatory comments are generated.  |
|   | 11. | Provide nonmandatory comments to the document requester/preparer as informal correspondence/communication or marked-up copies of the draft document.   |
| NSNFP<br>Mandatory<br>Reviewers             | 12. | Complete the applicable DRT form blocks according to the form instructions.  |
|   | 13. | Forward the completed DRT and RCR forms (if applicable) to the document requester/preparer.  |
|   | a.  | Attend review meetings as scheduled.   |
| NSNFP<br>Document<br>Requester/<br>Preparer | 14. | Coordinate with the document originator to establish comment resolutions for comments documented by the mandatory reviewers.   |
|   | 15. | Obtain concurrence on the RCR form from the mandatory reviewers for the proposed comment resolutions.  |
|   | 16. | Communicate the accepted comment resolutions to the document originator.   |

### **C. Acceptance of Supplier-Generated Documents**

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| NSNFP<br>Document<br>Requester/<br>Preparer | 1. | When comments have been incorporated, document acceptance of supplier-generated documents in accordance with PSO 7.03. |
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|--|---|---|
|  | <b>REVIEW OF EXTERNAL<br/>DOCUMENTS</b> | Doc. No.: PMP 6.04<br>Revision: 1<br>Eff. Date: 11/13/02<br>Page: 4 of 7<br>DAR No.: NSNF-430 |
|--|---|---|

#### **D. Post-Acceptance Actions for Supplier Documents**

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| NSNFP<br>Document<br>Requester/<br>Preparer | 1. Initiate the process for records storage of the document review records according to PMP 17.01.                  |
|   | 2. Complete the applicable portions of the DAR according to the form instructions and forward to the DCC.           |
| NSNFP<br>DCC                                | 3. Upon receipt of document review records, sign the DAR as complete and add the DAR to the document review record. |

#### **IV. REFERENCES**

None.

#### **V. DEFINITIONS**

Terms appearing in italics followed by the notation “see glossary” are defined in the NSNFP Documents Manual Introduction and Glossary.

#### **VI. ATTACHMENTS**

Attachment A, Review Matrix for External Documents

#### **VII. RECORDS**


The following records generated as a result of this procedure require retention in accordance with the identified classification and PMP 17.01.

##### Lifetime

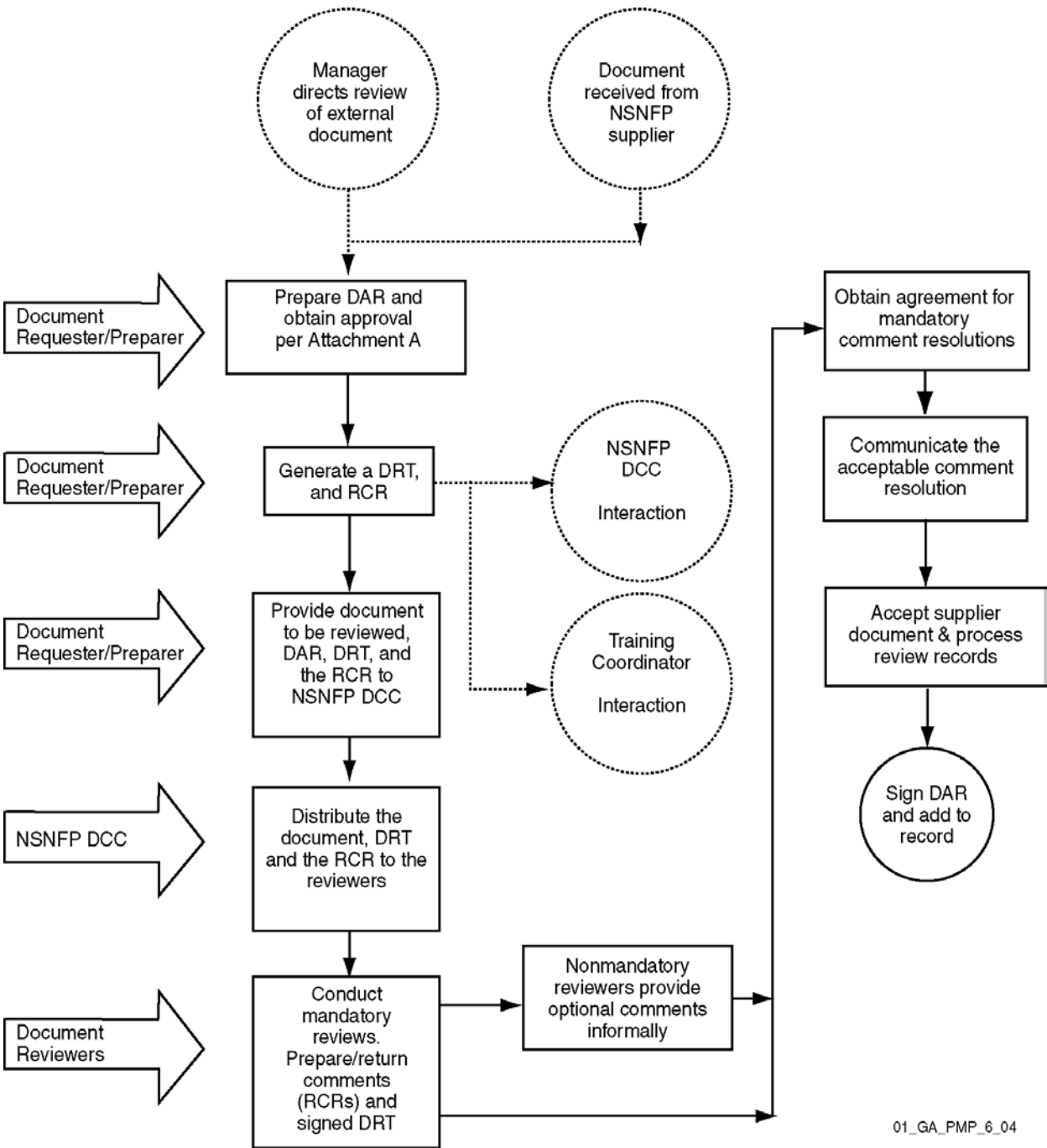
- A. External documents reviewed in accordance with this procedure.

##### Nonpermanent

- A. Completed Document Action Requests
- B. Completed Document Review Transmittals
- C. Completed Review Comment Records.

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|--|---|--|
|  | <p align="center"><b>REVIEW OF EXTERNAL DOCUMENTS</b></p> | <p>Doc. No.: PMP 6.04<br/> Revision: 1<br/> Eff. Date: 11/13/02<br/> Page: 5 of 7<br/> DAR No.: NSNF-430</p> |
|--|---|--|

VIII. PROCEDURE FLOW DIAGRAM




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|--|-------------------------------------|---|
|  | <b>REVIEW OF EXTERNAL DOCUMENTS</b> | Doc. No.: PMP 6.04<br>Revision: 1<br>Eff. Date: 11/13/2002<br>Page: 6 of 7<br>DAR No.: NSNF-364 |
|--|-------------------------------------|---|

## Attachment A

### Review Matrix for External Documents

| Document Type<br>(Related Procedure)  | Mandatory Reviewers<br>Unless otherwise noted  | Document Acceptance/<br>DAR Approver(s)  | DAR Required       |
|---|--|--|--------------------|
| NSNFP/DOE SNF Site Documents  |  |  |                    |
| DOE SNF Site QA<br>Program Documents<br>(PMP 7.01)  | NSNFP QAPM<br>QAS Manager<br>QAS member  | NSNFP QAPM<br>(Acceptance documented<br>by Memorandum)   | Yes                |
| External Documents—OCRWM, EM, Other Nonsupplier-related Documents   |  |  |                    |
| External Documents<br>OCRWM, EM, other non<br>supplier related documents                                      | As determined by NSNFP<br>Management on a case-by<br>case basis  | As determined by NSNFP<br>Management on a case-<br>by-case basis   | Yes                |
| External Documents—Government Sector Supplier Generated Products/Documents                                    |  |  |                    |
| Supplier Generated<br>Products—Test Plans<br>(PSO 7.03)<br>(PSO 11.01)  | Designated Technical<br>Reviewer<br>PSO QE   | PSO Technical Staff<br>assigned to interface with<br>the supplier<br>(Acceptance documented<br>by memorandum to the<br>supplier) | Yes                |
| Supplier Generated<br>Products—Engineering<br>documents and technical<br>reports<br>(PSO 3.04)<br>(PSO 11.01) | Designated Technical<br>Reviewer<br>PSO QE   | PSO Technical Staff<br>assigned to interface with<br>the supplier<br>(Acceptance documented<br>by memorandum to the<br>supplier) | Yes                |
| Supplier Generated<br>Products—Software<br>Control Plans and reports<br>(PSO 7.03)<br>(PSO 19.01)             | Designated Software<br>Reviewer<br>PSO QE  | PSO Technical Staff<br>assigned to interface with<br>the supplier<br>(Acceptance documented<br>by memorandum to the<br>supplier) | Yes                |
| Supplier Generated<br>Products—Personnel<br>Experience Information<br>(PSO 7.03)<br>(PMP 2.08)                | NSNFP Training<br>Coordinator<br>NSNFP verifier<br>PSO Technical Staff<br>assigned to interface with<br>the supplier | PSO Technical Staff<br>assigned to interface with<br>the supplier<br>(Acceptance documented<br>by memorandum to the<br>supplier) | No<br>See PMP 2.08 |

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|--|---|---|
|  | <b>REVIEW OF EXTERNAL<br/>DOCUMENTS</b> | Doc. No.: PMP 6.04<br>Revision: 1<br>Eff. Date: 11/13/2002<br>Page: 7 of 7<br>DAR No.: NSNF-364 |
|--|---|---|

### Attachment A

| Document Type<br>(Related Procedure)   | Mandatory Reviewer<br>Unless otherwise noted                          | Document Acceptance/<br>DAR Approver(s)  | DAR Required        |
|--|---|--|---------------------|
| Supplier Generated Products—QA Program Implementing Documents (PSO 7.03)<br>(PSO 4.02)   | Designated Technical Reviewer<br>PSO QE                               | PSO Technical Staff assigned to interface with the supplier<br>(Acceptance documented by memorandum to the supplier) | Yes                 |
| Supplier Generated Products—Dispositioned nonconformance reports (PSO 7.03)              | PSO Technical Staff assigned to interface with the supplier<br>PSO QE | PSO Technical Staff assigned to interface with the supplier<br>(Acceptance documented by memorandum to the supplier) | Yes                 |
| Supplier Generated Products—Certificates of Conformance (PSO 7.03)                       | PSO Technical Staff assigned to interface with the supplier<br>PSO QE | PSO Technical Staff assigned to interface with the supplier<br>(Acceptance documented by memorandum to the supplier) | Yes                 |
| Supplier Generated Products—QA Records (PSO 7.03)<br>(PMP 17.01)                         | PSO Technical Staff assigned to interface with the supplier<br>PSO QE | PSO Technical Staff assigned to interface with the supplier<br>(Acceptance documented by memorandum to the supplier) | No<br>See PMP 17.01 |
| Supplier Generated Products—other as stipulated by Task Management Agreements (PSO 7.03) | PSO Technical Staff assigned to interface with the supplier<br>PSO QE | PSO Technical Staff assigned to interface with the supplier<br>(Acceptance documented by Memorandum to the supplier) | Yes                 |